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TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT (Under 37 CFR 1.97(b) or 1.97(c))	Docket No. 36194/42366
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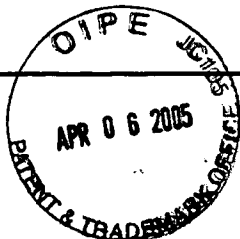
In Re Application Of:

Tully et al.

Serial No. 10/692,067	Filing Date October 22, 2003	Examiner To be determined	Group Art Unit 3628
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Title:

System And Method For The Automated Brokerage Of Financial Instruments



Address to:
 Assistant Commissioner for Patents
 P.O. Box 1450, Alexandria, VA 22313-1450

37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

- ☐ the statement specified in 37 CFR 1.97(e);

OR

- ☐ the fee set forth in 37 CFR 1.17(p).

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
36194/42366

In Re Application:

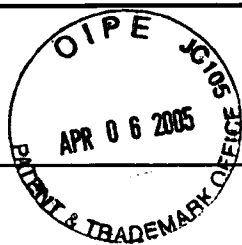
Tully et al.

Serial No.
10/692,067

Filing Date
October 22, 2003

Examiner
To be determined

Group Art Unit
3628



Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 20-0823 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of _____
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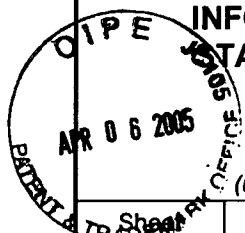
Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Complete if Known

Application Number	10/692,067
Filing Date	October 22, 2003
First Named Inventor	Tully et al.
Art Unit	3628
Examiner Name	To Be Determined
Attorney Docket Number	36194 / 42366



U.S. PATENT DOCUMENTS					
Examiner Initials	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US- 4486853	12/4/1984	Parsons	
		US- 4674044	6/16/1987	Kalmus et al.	
		US- 4694397	9/15/1987	Grant et al.	
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		US- 6134535	10/17/2000	Belzberg	
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		US- 6772132	8/3/2004	Kemp, II et al.	
		US- 20020019799	2/14/2002	Ginsberg et al.	

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Complete if Known	
				Application Number	10/692,067
				Filing Date	October 22, 2003
				First Named Inventor	Tully et al.
				Art Unit	3628
				Examiner Name	To Be Determined
Sheet	2	of	5	Attorney Docket Number	36194 / 42366

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	US-	20030139998	7/24/2003	Gilbert et al.	
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	US-	20030200167	10/23/2003	Kemp, II et al.	
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				Art Unit	3628
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Sheet	3	of	5	Attorney Docket Number	36194 / 42366

	US-	20030236737	12/25/2003	Kemp, II et al.	
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	US-	20050060255	3/17/2005	Heaton	
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Sheet	4	of	5	Attorney Docket Number	36194 / 42366

FOREIGN PATENT DOCUMENTS							
Examiner Initials	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴ Kind Code ⁵ (if known)				

Examiner Signature	/Michael Zecher/	Date Considered	04/28/2008
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				Art Unit	3628
				Examiner Name	To Be Determined
Sheet	5	of	5	Attorney Docket Number	36194 / 42366

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²

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